

# Chapter Six

## UTILITY COORDINATION

BUREAU OF DESIGN AND ENVIRONMENT MANUAL



**Chapter Six**  
**UTILITY COORDINATION**

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## Chapter Six

# UTILITY COORDINATION

A utility adjustment is performed by a utility company (i.e., Utility), under a binding Agreement between the Utility and the State or under the terms of a utility permit, to relocate or remove a utility facility that cannot otherwise be avoided during highway construction. The procedures for processing these adjustments for IDOT's Federally funded projects are based primarily on the requirements of the Federal Highway Administration. For uniformity, IDOT also applies these requirements to its non-Federally funded projects. Chapter 6 documents the policies and procedures that should be employed when processing utility adjustments for the Department's highway improvement projects.

### 6-1 GENERAL GUIDELINES

#### 6-1.01 Definitions

The following definitions apply to the accommodation of utilities on highway projects:

1. Utility. A privately, publicly, or cooperatively owned line, facility, or system for producing, transmitting, or distributing communications, cable television, power, electricity, light, heat, gas, oil, crude products, water, steam, waste, storm water not connected with highway drainage, or any other similar commodity, including any fire or police signal system or street lighting system, which directly or indirectly serves the public. The term Utility shall also mean the utility company inclusive of any wholly owned or controlled subsidiary. The term utility includes those facilities used solely by the Utility that are a part of its operating plant.
2. Utility Adjustment. A utility adjustment includes all activities necessary to relocate or remove an existing utility facility that interferes with a highway improvement project.
3. Utility Agreement. A utility Agreement is a legally binding document between the Utility and the State that defines the scope, reimbursement, and schedule parameters of the work to be performed by the Utility to complete the utility adjustment.

#### 6-1.02 Applicable Publications

The policies, procedures, and guidelines that govern utility accommodation and adjustments are documented primarily in Items 1, 2, and 3 in the following list of publications. Other references in the following list provide additional information on utility accommodation:

1. *Accommodation of Utilities on Right-of-Way of the Illinois State Highway System*, Part 530 of Title 92, Illinois Administrative Code.

2. *A Guide for Accommodating Utilities within Highway Right-of-way*, American Association of State Highway and Transportation Officials.
3. *Federal-Aid Policy Guide*, Title 23 Code of Federal Regulations, 23 CFR 645 A and B, Federal Highway Administration.
4. *Illinois Underground Utility Facilities Damage Prevention Act*, 220 ILCS 50/1 - 50/14.
5. *Title 49 Code of Federal Regulations*, Parts 21 and 23.
6. *Highway/Utility Guide*, Federal Highway Administration.
7. *Standard Specifications for Road and Bridge Construction*, Illinois Department of Transportation.
8. *A Policy on the Accommodation of Utilities within Freeway Right-of-Way*, American Association of State Highway and Transportation Officials.
9. *Transportation of Natural and Other Gas by Pipeline: Minimum Federal Safety Standards*, 49 CFR Parts 191 and 192, Office of Pipeline Safety Operations, United States Department of Transportation, Federal Highway Administration.
10. *American National Standards, National Bridge Inspection Standards*, 23 CFR 25, Office of Federal Register National Archives and Record Administration, Federal Highway Administration.
11. *National Electrical Safety Code*, ANSI C2, Institute of Electrical and Electronics Engineers, American National Standards Institute.
12. *American National Standards, Gas Transmission and Distribution Piping Systems*, ANSI/ASME B31.8, American Society of Mechanical Engineers.
13. *American National Standards, Liquid Petroleum Transportation Piping Systems*, ANSI/ASME B31.4, American Society of Mechanical Engineers.
14. *Standard Specifications for Water and Sewer Main Construction in Illinois*, Associated General Contractors of Illinois.
15. *Valuation of Landscape Trees, Shrubs and Other Plants*, International Society of Arboriculture.

### **6-1.03    Reimbursement of Utility Adjustments**

#### **6-1.03(a)    General Policy for Reimbursable Utility Adjustments**

When the State is obligated to reimburse a Utility for the removal or alteration of its facility, all parties should understand that the adjustment will be undertaken in the most economical manner consistent with good engineering practice and in compliance with applicable codes and

permit regulations. The State only will reimburse the Utility for comparable facilities. If the Utility elects to improve its facility during the adjustment (i.e., a utility betterment), the State only will reimburse the company for the cost of a comparable facility. Non-reimbursable adjustments of utilities located on public right-of-way should be conducted in accordance with the guidelines documented in *Accommodation of Utilities on Right-of-Way of the Illinois State Highway System*. Also, in accordance with the procedures and guidelines contained in the same publication, a utility permit shall be obtained by the Utility for all utilities to be located on State right-of-way.

#### **6-1.03(b) Non-Freeway Facilities**

Where utility adjustments are required for the construction of a non-freeway highway improvement project, the expense of these adjustments is generally borne as follows:

1. Public Right-of-Way. If a utility facility is located on publicly owned right-of-way, whether by permit or otherwise, the adjustment is at the expense of the Utility.
2. Private Right-of-Way or Easement Rights. If a Utility presents legal evidence that its facility is located on privately owned right-of-way or easement rights, the cost of the adjustment is eligible for reimbursement by the State.
3. Municipally Owned Utilities. When a Joint Agreement with a Municipality is required, the cost of adjusting a municipally owned facility is determined in accordance with the policies and procedures referenced in this section and in Section 5-5.
4. Prior Rights. If a utility was located on public right-of-way prior to the marking of a State-maintained route or if any utility is located on or adjacent to an easement previously subordinated to the State, the adjustments are eligible for reimbursement by the State. The burden of proof regarding prior rights falls upon the Utility. In absence of such proof, the Department considers the cost of the relocation to be non-reimbursable.

#### **6-1.03(c) Freeway and Expressway Facilities**

In accordance with the *Illinois Compiled Statutes* (i.e., 605 ILCS 5/3-107, as amended), the State may participate in the cost to reimburse the Utility for adjusting a facility on public right-of-way when such adjustment is necessitated by the construction or reconstruction of the freeway facility. The amount of reimbursement will be for a comparable facility; facility improvements (betterments) are not reimbursable. If the adjustment is in conjunction with highway reconstruction and the facility was adjusted during the highway's initial construction, the State will reimburse the Utility for the adjustment excluding any betterments or subsequent installations. Additional utility installations made after initial construction of an Interstate or other freeway facility are not eligible for reimbursement.

**6-1.04    Programming Utility Adjustments**

The district initiates, plans, and coordinates the programming and preliminary engineering activities of utility adjustments as documented in the *Federal-Aid Policy Guide* and Section 65-1. Consider the following guidelines when programming utility adjustments:

1.    Programming. The adjustments may be programmed as:
  - a separate project,
  - a part of the right-of-way acquisition, or
  - an item that is included in the construction phase.
2.    Required Programming Information. Include the following programming information:
  - list of all utility adjustments,
  - a general description of the necessary adjustment activities, and
  - the best available estimate for the total costs involved.

## **6-2 PROCEDURES**

### **6-2.01 General**

Locating and avoiding existing utility installations during the planning phase of any highway improvement is the first step for highways and utilities to co-exist in the same environment. If it is not practical to avoid an existing utility installation during construction, it will be necessary to adjust the utility. However, a considerable amount of time and money may be saved by modifying the design to avoid utility adjustments.

For Utility/State Agreements, City of Chicago Force Accounts, or Municipality/State Agreements, the cost estimates, design plan sheets, and Agreements should be reviewed, approved, and processed to meet scheduling of highway construction activities. The district must initiate, plan, and coordinate utility adjustment work so highway construction activities can proceed without unnecessary delay or expense. Completing the planning and negotiations for utility adjustments is as essential for clearing right-of-way as is acquiring property.

### **6-2.02 Utility Agreement/Adjustment Process (Utility/State Agreements)**

Figures 6-2.A and 6-2.B illustrate, respectively, the process flowchart and timeline for utility adjustments on a typical highway improvement project.

### **6-2.03 Process for City of Chicago Force Account**

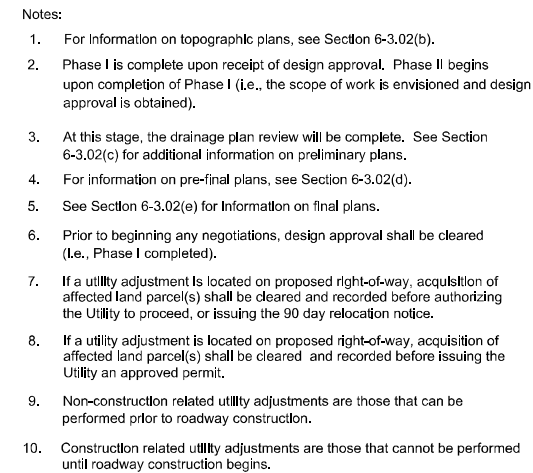
If the State is obligated to reimburse the City of Chicago for adjusting utility facilities that interfere with highway construction, the following guidelines apply:

1. Plan and Estimate Review. The district reviews and approves the plan and estimate and forwards two copies of a Letter of Understanding to the City of Chicago for signature. Upon execution by the City, the district forwards the two copies of the Letter of Understanding to the Agreements Unit for final execution.
2. Authorization to Proceed. Upon final execution of the Letter of Understanding, the Agreements Unit returns one original to the district, which then authorizes the City to begin the relocation work.
3. Contract Obligation Document (COD). The Agreements Unit uses the Letter of Understanding to prepare and submit the COD.

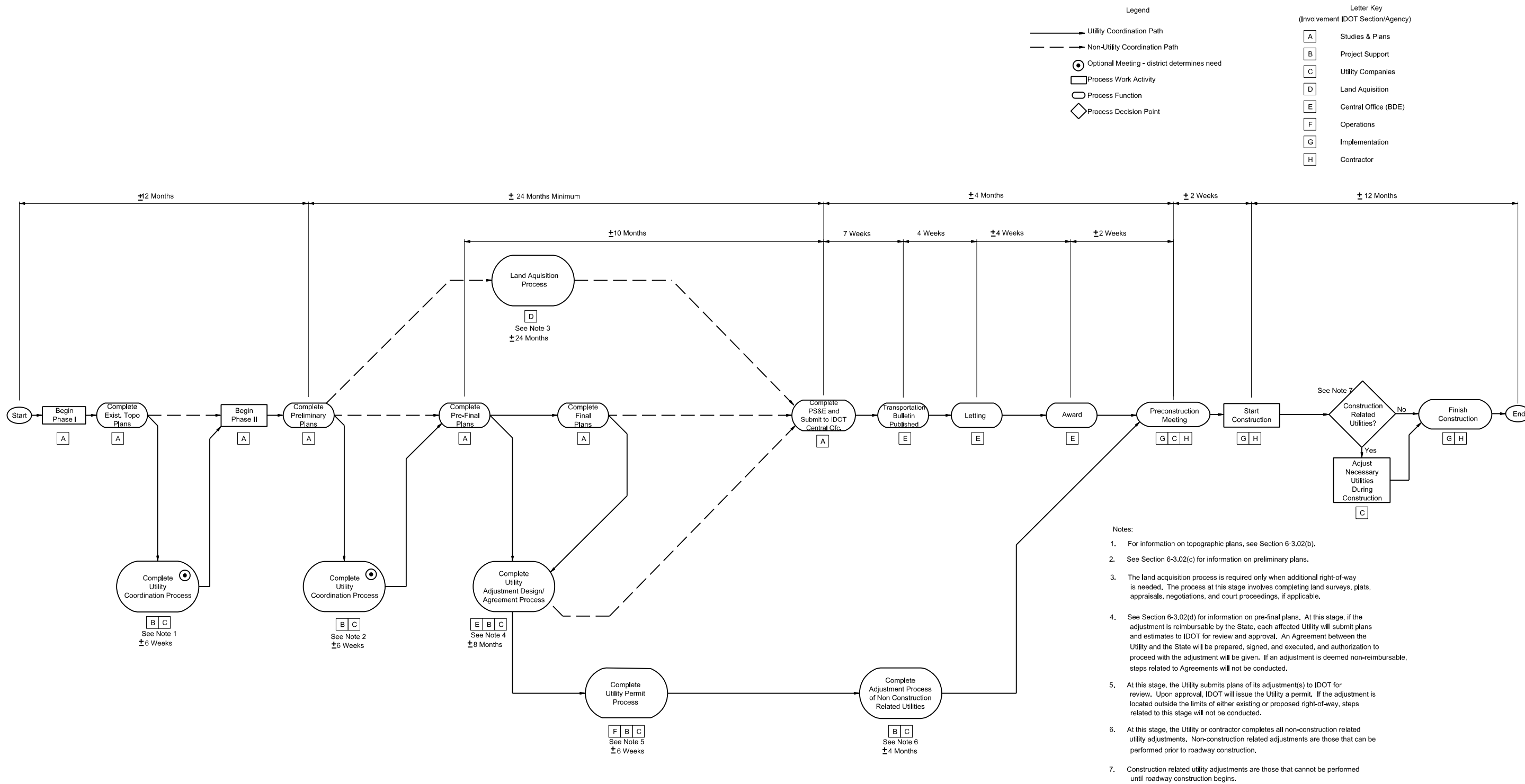
### **6-2.04 Municipally Owned Utilities**

If it is necessary to adjust a municipally owned utility, use one of the following two processing methods:

1. Joint Agreement Required. If a Joint Agreement is required between the State and Local Agency because of local participation in the project, the costs of any municipally owned utility adjustments may be included in the Joint Agreement. Follow the processing procedures for Joint Agreements outlined in Section 5-1.03.
2. Joint Agreement Not Required. If a Joint Agreement is not required or if the municipally owned utility operates as a separate entity, process the Agreement in the same manner as for Utility/State Agreements (see Section 6-2.02).



**Figure 6-2.A**



UTILITY ADJUSTMENT PROCESS FLOWCHART  
(Typical Highway Improvement Project)

Figure 6-2.B

### **6-3 PREPARATION OF UTILITY PLANS**

#### **6-3.01 General**

Coordination with Utilities begins as early as practical during project development (e.g., planning, preliminary engineering). The Department typically sends plans at various stages of completion to each affected Utility for review and comment. It is the responsibility of each Utility to verify and/or provide the following information on its utility facilities:

- type,
- size,
- vertical and horizontal location, and
- information on retired facilities.

If a utility installation will be located or relocated on or across public right-of-way that is under the Department's jurisdiction, the Utility shall submit an application for a utility permit to the district for review and approval in accordance with the policies and procedures in the publication *Accommodation of Utilities on Right-of-Way of the Illinois State Highway System*.

For any contract that requires work below the existing pavement structure or ground surface, including those where posts will be driven into existing ground, the designer will identify all known utility facilities within the limits of the right-of-way by appropriate symbol on the final construction plans. Show vertical and horizontal dimensions of both existing and proposed utility facilities to the precision provided by the Utility regardless of whether the facility will be adjusted or remain in place.

For each utility adjustment that will be reimbursed by the State, the district reviews the adjustment type, method, plans, and cost estimate and provides recommendations for final approval by the BDE.

#### **6-3.02 Plan Preparation for Department Projects**

##### **6-3.02(a) General**

See Chapter 63 for criteria on plan preparation for Department projects (e.g., drafting guidelines, individual plan sheet content and format, construction codes). Plans typically are sent at various stages of completion to each affected Utility to assist in determining whether or not an adjustment is needed. IDOT may prepare separate plan sheets with utility information and insert these sheets into the final contract plan assembly at the proper location (see Section 63-3.04). The district is responsible for clearly showing the locations of all known utility facilities on the project plans and how they will be affected. Each Utility is responsible for identifying the location of their respective facilities (e.g., horizontal and vertical dimensions) on the plan sheets and documenting the work for any needed adjustments.

**6-3.02(b) Topographic Plans**

The district submits the following information to the Utilities so they can identify their respective facilities within the improvement area:

- a cover sheet that includes a location map showing the limits of the improvement, and
- a set of plan sheets that contain complete topography and existing right-of-way limits.

Prior to surveying a project, the Project Support Section will contact JULIE and schedule a Design Phase Locate Meeting with the Utilities to explain the limits and scope of the improvement and the approximate date and location that IDOT surveyors will begin work. So that IDOT surveyors can record the necessary utility information, the Utilities should be given sufficient time to locate and mark their facilities in the field prior to the IDOT survey. Incorporate the utility information gathered in the field on the topographic plans and submit the plans to each affected Utility for review and verification. If a Utility does not mark its facilities in the field prior to the IDOT survey, the Utility will need to manually plot its facilities on the topographic plans based on office records and previously filed location data and return the markups to the Department.

**6-3.02(c) Preliminary Plans**

Preliminary plans are considered to be 60% to 70% complete and ready for a district plan and field review. The district prepares preliminary plans in sufficient detail to conduct the preliminary plan and field review (see Section 63-1.02(b)) which will include the following:

1. Cover Sheet. Provide a cover sheet that includes a location map showing the limits of the improvement.
2. Plan Sheets. Include the following information on the plan sheets:
  - existing utility locations,
  - all proposed improvements,
  - existing and proposed right-of-way and easement lines, and
  - known environmental issues.
3. Cross Section Sheets. Include the following information on the cross section sheets:
  - proposed improvements,
  - limits of earthwork, and
  - drainage improvements.

During the development of the preliminary plans, it may be necessary for the Utilities to survey or probe the site to locate their facilities. Obtain and include this information on the preliminary plans.

The Project Support Section is responsible for determining the type and nature of all utility facilities located within the limits of both existing and proposed right-of-way and for identifying each facility owner and its address. Through field surveys, verify all utility facilities within the limits of the improvement and determine potential conflicts. Notify the Project Support Section of any additional utility facilities located but not previously identified. Use the following guidelines when preparing the preliminary plans:

1. Utility Facility Plan Symbols. Identify the utility facilities using the appropriate plan symbols as documented in the *Highway Standards* and the *CADD Roadway Drafting Reference Guide*.
2. Dimensional Precision in Locating Facilities. Show the vertical and horizontal locations of the utility facilities to the dimensional precision provided by the Utility.
3. Use of Dimensional Ranges. If the location of the utility facility provided by the Utility is expressed as a dimensional range (e.g., 6.0 ft to 6.5 ft (2.0 m to 2.5 m)), show the same range on the preliminary plans.

Submit the preliminary plans to the Utilities for review and verification and inform them of the schedule for placing the highway improvement under contract. Periodically contact all affected Utilities to maintain a mutual understanding of the project schedule and to facilitate a timely completion of the needed adjustments. For complex or utility-sensitive projects, hold coordination meetings with all affected Utilities to discuss and/or clarify the following:

- relevant details of the overall project scope,
- potential conflict areas,
- design alternatives,
- coordination of adjustments,
- timing and scheduling of work,
- deadlines for permit applications,
- deadlines for completing adjustments; and
- budgeting for future adjustments.

#### **6-3.02(d) Pre-Final Plans**

Pre-final plans are considered to be 90% to 95% complete, including all necessary details, pay items, quantities, and special provisions, and ready for district review and signatures. Send pre-final plans to the affected Utilities so they can identify conflicts, determine the extent of needed adjustments, complete adjustment designs, order materials, prepare contracts, and schedule work crews.

#### **6-3.02(e) Final Plans**

Final plans are 100% complete and ready for PS&E submittal and letting by the Central Office. Upon completing the final plans, the district immediately forwards the plan set to each Utility

(this applies to both municipally owned and privately owned utilities). Include the following information in the transmittal letter:

1. Date of Transmittal. The date of transmittal is the date the transmittal letter is prepared.
2. Letting Date. The letting date is the anticipated date of letting by the Central Office.
3. Response Date. Request the Utility to respond with information by a specific date. The response date will be, at a maximum, 30 days from the Utility's receipt of the final plans.
4. Date(s) of Previous Plan Submittals. Include the date(s) that previous plans were forwarded, if applicable.
5. Verification of Accuracy. Include a short statement requesting the Utility to review the plans and verify the accuracy of its facility locations as shown on the plans.
6. Notification of Plan Changes. Inform the Utility of any revisions to its utility adjustment(s) that were made after the pre-final plan stage.
7. Other Information. Include other relevant information as appropriate.

Send the transmittal letter and final plan set to each Utility via certified mail and request that a delivery receipt be returned. Other methods of transmittal (e.g., e-mail, electronic transfer) are acceptable provided that a delivery receipt indicating the package was received by the Utility is returned.

#### **6-3.02(f) Transmittal Letters**

Examples of transmittal letters for topographic plans, preliminary plans, pre-final plans, and final plans are illustrated, respectively, in Figures 6-3.A, 6-3.B, 6-3.C, and 6-3.D.

#### **6-3.02(g) Utility Plans**

The Utility is responsible for preparing plans for adjustments to its facilities and for ensuring that the plans conform to the requirements of the following documents:

- *Federal-Aid Policy Guide,*
- *A Policy on the Accommodation of Utilities Within Freeway Right-of-Way, and*
- *Accommodation of Utilities on Right-of-Way of the Illinois State Highway System.*

Clearly and accurately show the existing conditions, proposed utility adjustments, and any needed relocations relative to the final roadway construction. Include the following items on the utility plans:

**Illinois Department of Transportation**

CERTIFIED MAIL

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## UTILITY ADJUSTMENT

Route \_\_\_\_\_

Section \_\_\_\_\_

County \_\_\_\_\_

Dear \_\_\_\_\_:

We are transmitting two sets of existing topography plans for the subject improvement which has been included in our multi-year program.

The contemplated scope of work consists of \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Please incorporate and/or identify your existing utility facilities on the enclosed plans, provide dimensions for any underground facilities, and return one set of the plans to this office by \_\_\_\_\_. Information you provide will be incorporated in the project plans as they are developed.

Should you have any questions regarding this improvement, contact \_\_\_\_\_ at \_\_\_\_\_.

Sincerely,

Regional Engineer

Program Development Engineer

bcc: Project Engineer

**SAMPLE TRANSMITTAL LETTER TO UTILITIES  
(Topographic Plans)****Figure 6-3.A**

CERTIFIED MAIL

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## UTILITY ADJUSTMENT

Route \_\_\_\_\_  
Section \_\_\_\_\_

\_\_\_\_\_ County

Job No. \_\_\_\_\_

Contract No. \_\_\_\_\_

Dear \_\_\_\_\_:

Enclosed are preliminary plans for the above noted improvement, which is tentatively scheduled for the \_\_\_\_\_ construction letting.

The improvement will consist of \_\_\_\_\_

\_\_\_\_\_.

In order for us to complete our construction plans, it will be necessary for us to know the locations of all utilities on or along our right of way as well as possible utility conflicts.

We are enclosing two sets of plans, one of which you may keep for your files. On the second set of plans, please confirm the location of your facilities (if shown) and draw on the prints any facilities not shown. Accurate horizontal and vertical locations as well as sizes of facilities are needed. Also, please outline the areas of possible conflicts with your facilities.

Please return the marked set to this office by \_\_\_\_\_.

We will include your utility locations on our detailed plans and provide you with such plans when they are available.

***Since we are acquiring additional right of way, a portion of your adjustments may be reimbursable. If adjustments are required to that portion of your facilities located on easement and/or private property, then plans, estimates, and an agreement to cover reimbursement will be necessary. (SEE NOTE)***

***In the above regard, you should advise us as soon as possible whether any portion of your adjustments are reimbursable and the approximate cost of such reimbursable adjustments. This letter is your authorization to proceed with the preliminary engineering for the adjustment of your facilities that are reimbursable. (SEE NOTE)***

**SAMPLE TRANSMITTAL LETTER TO UTILITIES  
(Preliminary Plans)**

**Figure 6-3.B**

Page 2

If additional information is needed in determining your involvement, please make any early request to \_\_\_\_\_ at \_\_\_\_\_ office by \_\_\_\_\_. You should return the marked set of plans to this construction plans.

Sincerely,

Regional Engineer

Program Development Engineer

bcc: Project Engineer

**NOTE:** *PARAGRAPHS IN BOLD AND ITALICS ARE OPTIONAL*

**SAMPLE TRANSMITTAL LETTER TO UTILITIES  
(Preliminary Plans)**

**Figure 6-3.B**  
(Continued)

CERTIFIED MAIL

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

UTILITY ADJUSTMENT  
Route \_\_\_\_\_  
Section \_\_\_\_\_ County \_\_\_\_\_  
Job No. \_\_\_\_\_  
Contract No. \_\_\_\_\_

Dear \_\_\_\_\_:

Enclosed is one set of prefinal plans for subject improvement which is tentatively scheduled for the \_\_\_\_\_ construction letting. These plans should permit you to determine the extent of adjustments to your facilities. Preliminary plans for this improvement were previously provided your office on \_\_\_\_\_.

Please review these plans as to the location of your utility facilities. Should you find any additions and/or corrections, you must notify the Project Support Section by \_\_\_\_\_. Failure to comply with this notification could result in damage to your facilities and delays during the construction of this project.

We request you proceed with the preparation of plans for the necessary adjustment at the earliest possible time. If the cost of the adjustments are reimbursable, please submit four copies of the plans and estimates to this office along with documentation of easement rights.

Any adjustment work necessary in eliminating a conflict shall be done in accordance with the manual "Accommodation of Utilities on Rights of Way of the Illinois State Highway System" and an approved utility permit. Application for a permit shall be made through the Permit Section Chief. No adjustments may be performed until a permit has been issued by this office.

Should you have any questions regarding this improvement, contact \_\_\_\_\_.

Sincerely,  
  
Regional Engineer  
  
Engineer of Program Development  
  
bcc: Project Engineer

**SAMPLE TRANSMITTAL LETTER TO UTILITIES  
(Pre-Final Plans)**

**Figure 6-3.C**

CERTIFIED MAIL

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## UTILITY ADJUSTMENT

Route \_\_\_\_\_

Section \_\_\_\_\_

County \_\_\_\_\_

Job No. \_\_\_\_\_

Contract No. \_\_\_\_\_

Dear \_\_\_\_\_:

Enclosed is one set of final plans for subject improvement which is scheduled for the \_\_\_\_\_ letting. Prefinal plans for this improvement were previously provided your office on \_\_\_\_\_.

Please review these plans as to the location of your utility facilities. Should you find any additions and/or corrections, you must notify the Project Support Section by \_\_\_\_\_. Failure to comply with this notification could result in damage to your facilities and delays during the construction of this project.

You are hereby requested to proceed promptly with the adjustment of your facilities required by this improvement and notify this office as to the status of this work. Any adjustment work necessary in eliminating a conflict shall be done in accordance with the manual "Accommodation of Utilities on Rights of Way of the Illinois State Highway System" and an approved utility permit. Application for a permit shall be made through the Permit Section Chief. No adjustments may be performed until a permit has been issued by this office.

Should you have any questions regarding this improvement, contact \_\_\_\_\_ at \_\_\_\_\_. Arrangements will be made for you to be invited to the preconstruction conference.

Sincerely,

Regional Engineer

Engineer of Program Development

bcc: Project Engineer

**SAMPLE TRANSMITTAL LETTER TO UTILITIES  
(Final Plans)**

Figure 6-3.D

- existing and proposed right-of-way lines;
- access control lines;
- existing utility facility;
- temporary work, if required;
- final utility facility;
- cross section and elevation drawings for all buried and overhead utilities;
- plan scale;
- roadway stationing; and
- notes for construction sequencing, as appropriate.

In addition to these requirements, consider the following additional guidelines when developing the utility plans:

1. Overhead Lines. Ensure that the vertical clearance of overhead power or communication lines crossing any highway meets or exceeds the vertical clearance criteria in the National Electric Safety Code (NESC).
2. Underground Facilities. For underground facilities permitted to cross fully access-controlled or conventional highways, meet or exceed the minimum cover requirements of the applicable ANSI Standard.
3. Plan Detail. Provide a legend that clearly defines all plan symbols. Locate the plan scale in a discernible location and clearly show the roadway stationing. If the sequence of construction is not readily apparent from the plans, provide detailed notes for clarification.
4. Clear Width of Sidewalks. When placing above ground utilities in or near sidewalks, do not encroach the clear width of the sidewalk. See Section 58-1 for information on sidewalk clear width and other ADA design criteria.
5. Other Guidelines. See the publications in Section 6-1.02 for additional provisions, guidelines, and requirements

If the utility adjustment is programmed and let by the State as a separate project, prepare a cover sheet in the same manner as for other highway projects. See Section 63-4.02 for information that should be included on the cover sheet. List each utility adjustment on the cover sheet and indicate the utility company name, type of adjustment, and its location with respect to roadway stationing. When adjustments are made under a State contract in conjunction with a roadway project, submit the plans and estimates according to the procedures in Section 66-3.

**6-4 605 ILCS 5/9 – 113 AND UTILITY COORDINATION**

Utility coordination may be found in Chapter 605 “Roads and Bridges,” Part 5 “Illinois Highway Code,” Article 9 “General Highway Provision,” Section 9-113 of the *Illinois Compiled Statutes*. Contact BDE for additional guidance.

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## **6-5 ESTIMATES**

### **6-5.01 General**

The affected Utilities are responsible for preparing and submitting to the district cost estimates for each of their respective reimbursable adjustments. Each cost estimate will be prepared in accordance with the requirements of the *Federal-Aid Policy Guide*, Part 645.

### **6-5.02 Preparation of Estimates**

Ensure that each cost estimate contains, at a minimum, the following details:

- labor type, hours, and hourly rate;
- equipment types and rates;
- material quantities and costs; and
- engineering costs.

Consider the following guidelines when requesting cost estimates for utility adjustments:

1. Multiple Locations of Adjustments. Request the Utility to submit a separate cost estimate for each reimbursable adjustment location within the limits of the project.
2. Multiple Sources of Funding. When a utility adjustment is necessary on a project financed with multiple funding sources, the district will indicate the limits for each participating source on the final utility plan sheets. The district will instruct the Utility on the division of the adjustment among the funding sources, and indicate the number of separate cost estimates required. For information on funding splits, see Chapter 65.
3. Utility Facility Improvements (Betterments). Improvements (betterments) to utility facilities are not reimbursable. If a Utility elects to improve, change, rearrange, or otherwise enhance its facilities beyond that which currently exists, obtain separate estimates to identify the cost difference between the preferred adjustment and the adjustment that is comparable to the existing facility.
4. Temporary Work. When temporary work (e.g., temporary pole, temporary line) is necessary to accomplish the final adjustment, separately estimate the costs attributable to the temporary portion. Document cost estimates for temporary work in the same detail as that required for permanent work.
5. Preliminary Engineering Estimates. Document preliminary engineering costs separately from construction costs.
6. Overheads and Additives. Include construction overheads and labor additives in the cost estimate as described in the *Federal-Aid Policy Guide*.
7. Credits. Credit for accrued depreciation and salvaged materials will be provided in the adjustment estimate.

**6-5.03    Review of Estimates**

The district will review each Utility's cost estimate for reasonableness and accuracy. Verify material costs through material suppliers or through a comparison to similar items on previous adjustments. Also verify material quantities. Compare engineering costs either to those previously approved or to those recommended by the Illinois Society of Professional Engineers. Document that all estimates have received the necessary level of technical evaluation.

**6-6 AGREEMENT PROCESSING (Utility/State Agreements)****6-6.01 Review and Approval by District**

The district has the primary responsibility for reviewing submittals prepared by Utilities. Thoroughly review each Agreement Package for the following:

- proper preparation and submission,
- discrepancies between the Utility's submittal and the project plans and schedule,
- reasonableness and accuracy of cost estimates,
- items that are not reimbursable by the State, and
- the identification and segregation of any proposed utility betterments.

If discrepancies are found, immediately return the plans and estimate, with appropriate comments, to the Utility. Resolve all discrepancies with the Utility prior to submitting the adjustment plans and estimate to the BDE.

**6-6.02 Utility Agreement Preparation**

The district prepares the necessary Utility Agreements for any reimbursable relocations that have been determined. The Utility Agreement will contain the following:

- a district assigned Agreement Number (i.e., UTxxxxxx);
- all pertinent State project information;
- the full legal name of the Utility Company;
- a general description of the highway project including general location and the type of improvement, and also a detailed description of the utility relocation including type, size, number of poles, lengths, diameters, stationing, or any other special items that thoroughly describe the extent of the relocation;
- a detailed estimate of the cost and a reasoning for any cost divisions and/or betterments;
- an estimated number of working days;
- the correct signature blocks for over/under \$ 250,000; and
- a general plan of the proposed utility relocation.

The following process will apply:

1. The district prepares the Utility Agreement containing the information above and forwards two originals to the Utility for review and execution.

2. After execution, the Utility returns both originals to the district where they are forwarded to BDE to be advertised in the Transportation Bulletin-Weekly Procurement and then executed by the Director of the Division of Highways along with the Secretary of Transportation. Agreements over \$250,000 also require signatures by the Director of Finance and Administration and the Chief Counsel.
3. When the Agreements are fully executed, one original Agreement is returned to the district and the remaining original Agreement is placed in the BDE file.
4. The district returns the original agreement to the Utility with a letter authorizing the Utility to proceed with the adjustment(s). The district also provides copies of the executed agreement to BDE (Project Implementation Section) and the Project Control Section.
5. The district prepares the COD for the Utility Agreement using the Appropriation provided by BDE.

#### **6-6.03    Emergency Agreements**

If it is determined that a reimbursable utility adjustment is required after highway construction has begun, the district will immediately notify the BDE of the necessity and required adjustment and provide an Agreement to the Utility (see Section 6-6.02). The BDE will expedite Agreement upon receipt from the district.

In extreme cases when the adjustment has considerable impact on the progression of highway construction, the district, with concurrence from the BDE, may authorize the Utility to begin its adjustment(s) prior to completion of the Agreement. Inform the Utility that no reimbursement can be made until the Agreement is completed and executed. This type of emergency agreement will contain additional language stating the emergency authorization date and emergency authorization letter.

#### **6-6.04    Approval of Bids**

When a Utility is authorized to proceed with all or a portion of an adjustment via contract with an outside contractor rather than its own personnel, the Utility will furnish the district with a list of qualified contractors to whom invitations for bids will be sent prior to solicitation. The list of bidders is for informational purposes only and does not require approval by the State; however, the State is to be notified of the selected bidder.

## **6-7 ADJUSTMENT PROCEDURES**

### **6-7.01 Change Orders**

If the scope, nature, and/or cost of the adjustment has changed significantly, an amendment to the Agreement may be necessary. If it is deemed that an amendment is required, the district submits the amendment to the Utility for signature and then to the BDE for processing. See Section 6-6.02.

For minor modifications in scope, nature, and/or cost, the district should complete Form BDE 804 and set forth the following information:

- the extent of the change,
- an estimate of the additional costs,
- the justification for the change, and
- a request for authorization of the change.

Forward Form BDE 804 to the BDE for processing. The signed BDE 804 will be returned to the district and the district will complete the COD increase.

### **6-7.02 Final Billing**

The following applies to processing the final bill for utility adjustments:

1. Preparation of Final Billing. Ensure that the final bill complies with all requirements of the *Federal-Aid Policy Guide*, Part 645 A and B.
2. Review of Final Billing. The district will review the final bill to determine whether or not the final bill reflects the labor, equipment, and materials used in the adjustment.
3. Billing Discrepancies. If the final bill exceeds the estimated amount of the adjustment and Form BDE 804 was not submitted in the interim, explain the increase and submit appropriate recommendations on Form BDE 804.
4. Submission of Final Billing. Submit final bills and recommendations to the Bureau of Accounting and Auditing.

